

DISASTER RECOVERY/CONTINGENCY PLAN – PAYROLL

ASSUMPTIONS

- Entire BNL site not available indefinitely.
- Adequate Server(s) available at alternate/backup offsite location (PeopleSoft HR and Payroll); assumption is SUNY at Stony Brook. (Contacts at SUNY Stony Brook; Marilyn Heinrich@sunysb.edu, phone # 631-632-8038 as well as CIO, Rich Reeder, phone # 631-632-9085) If an adequate server is unavailable, overnight shipping by Dell is an option to SUNY at Stony Brook.
- Six workstations available to access the Servers (PeopleSoft HR and Payroll Systems). Access to a web browser would be helpful since PeopleSoft Version 8 is web based, however, the application can be loaded onto separate workstations if necessary. Stony Brook's training room has adequate hardware available for Payroll staff to process payrolls.
- Outbound modem communications capability (for ACH direct deposit) must be available at the alternate/backup site.
- An HP laser printer must be available at the alternate/backup site.
- A supply of our preprinted, pre-numbered Moore Business Forms payroll check stock must be available at some adequately secured offsite facility, and readily available for use at the alternate/backup site. We currently utilize Iron Mountain Off-Site Data (1165 Northern Blvd. #LI, Manhasset, NY 11030, Phone # 516-365-4756, Account # 1904, Account Rep; Ben Taddeo) as our secure off-site facility, to store our emergency BNL check stock (800 count). This amount is sufficient to produce checks for one monthly and two weekly payrolls. A signature stamper, of an authorized check signor, is also stored at Iron Mountain. Payroll staff members would be responsible for folding and sealing checks (utilizing glue sticks), since a duplicate Moore folding/sealing machine would not be available.
- HR and Payroll Systems, appropriate feeder and data file backups shall be maintained at adequate offsite facilities, and readily available for use at the alternate/backup offsite processing facility; required backups of HR and Payroll Systems and data will be made/updated every Friday, and the night after each monthly payroll is completed. All noted backups, directions for ACH transmissions and a copy of our banking software (Chaselink) are stored at Iron Mountain.
- The Payroll Manager has all necessary software loaded on a laptop computer that she maintains at home.
- Chain of disaster notification: (All parties to this notification chain shall keep an updated copy of list at home, and backup copy of updated list shall be kept with the System and Data Backup media. If next direct contact in notification chain cannot be reached personally, the next level of notification should be contacted)
 - The Laboratory Director will notify the Deputy Director for Operations
 - Deputy Director will notify the Assistant Laboratory Director for Finance and Administration (ALDFA)
 - ADLFA will notify Fiscal Officer, Manager, Business Services Division and Director of Human Resources.
 - Director of Human Resources will notify appropriate HR personnel.

CONTINGENCY PLAN DEPLOYMENT PROCEDURES:

- Expectation is for the HR and Payroll Systems to be available for data entry within twelve (12) hours of notification.

NOTE: I have been advised by BNL Legal Counsel that an Act of God would not result in any legal penalties being imposed by New York State or Federal authorities with respect to delaying a weekly or monthly payroll for a reasonable period of time. I had based my inquiry assuming

that 48 hours would be deemed necessary (this would be of particular concern if the site disaster were to occur on a Saturday or Sunday, and weekly payroll data is normally entered on Monday and Tuesday). Legal Counsel also stated that potential Union grievances resulting from disaster-caused delays would not be a concern.

- Fiscal Officer shall notify Manager, Payroll, who will contact and instruct Payroll staff to meet at backup/alternate site at determined time.
- BSD Manager shall notify all appropriate ITD operations, database and programming personnel to meet at backup/alternate site at determined time.
- Director of Human Resources shall notify appropriate HR Systems support personnel to report to backup/alternate site at determined time.
- Appropriate BSD and ITD personnel will assure that most recently updated backup systems and data are installed, and ready to run.
- HR support personnel shall assure that any authorizations for deletions or additions of employees since the last available backup date are entered into the system when brought up.
- Manager, Payroll shall be responsible for assuring that all required processing reference documentation is available and accessible for use at the backup/alternate site. This shall include telephone numbers and communications information necessary for the various payroll tax deposit ACH debit transactions. Step by step directions for accomplishing payroll processing are updated including the various queries utilized. Controls maintained by each Payroll staff member are documented and updated for PeopleSoft Version 8. Directions for ACH transmissions (direct deposit), a copy of our banking software (Chaselink), copies of above noted documentation as well as an updated listing of telephone numbers of necessary personnel are stored at Iron Mountain.
- Payroll personnel will enter any available payroll time card data. **If payroll time cards are physically not available for the impending pay period being processed, the standard work-week or work-month for each type of active employee will be assumed.** Any required adjustments of work hours or leave can be made at a later date.
- Assuming outbound communications, was available at the alternative/backup site, we would be able to utilize ACH for direct deposit; if not available, we would resort to issuing hardcopy payroll checks to all employees. Additional payroll check stock can be obtained within 24 hours.
- Specific exceptions will be addressed on a case-by-case basis, depending on criticality and priorities.
- The Payroll Manager, to determine if any revisions/updates are required, shall review this Disaster Recovery Plan document quarterly.

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Reviewed and Approved by:

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